



JPW

Atty. Dkt. No. 035905-0104

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Thomas H. LEE et al.  
Title: MONOLITHIC THREE  
DIMENSIONAL ARRAY OF  
CHARGE STORAGE DEVICES  
CONTAINING A PLANARIZED  
SURFACE  
Appl. No.: 09/927,648  
Filing Date: 08/13/2001  
Examiner: Howard Weiss  
Art Unit: 2814

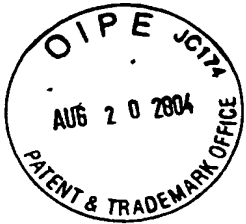
**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §1.56**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 C.F.R. § 1.56. A copy of each listed document is being submitted to comply with the provisions of 37 C.F.R. §§ 1.97 and 1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 C.F.R. § 1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.



**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 C.F.R. § 1.97(b), before the mailing date of the first Office Action on the merits.

**RELEVANCE OF EACH DOCUMENT**

All of the documents are in English. The listed documents were cited by the examiner in an office action dated June 29, 2004 in application no. 09/983,988 which is a CIP of the present application.


Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

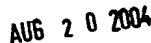
The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date August 20, 2004

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**TRADE MARK**

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet	1	of	1
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**Complete if Known**

<b>Application Number</b>	09/927,648
<b>Filing Date</b>	08/13/2001
<b>First Named Inventor</b>	Thomas H. Lee
<b>Group Art Unit</b>	2814
<b>Examiner Name</b>	Howard Weiss
<b>Attorney Docket Number</b>	035905-0104

[illegible][illegible]

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
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**Examiner  
Signature**

Date Considered

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